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ABSTRACT

Developed to assist individual countries in establishing a national bibliography and to further Universal Bibliographic Control, these guidelines provide practical guidance on the preparation of national bibliographic records, the production of a national bibliography, and the administrative machinery to accomplish these tasks. Appendices include examples of administrative materials, recommendations of the International Congress on National Bibliographies, the international framework of the National Bibliographic Agency, and a list of acronyms and abbreviations. (RAA)

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GUIDELINES FOR

THE NATIONAL BIBLIOGRAPHIC AGENCY

AND

THE NATIONAL BIBLIOGRAPHY

Prepared by the
IFLA International Office for UBC

December 1979

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INTRODUCTION

These Unesco Guidelines are intended:

(a) to have universal relevance to all countries

- in improving national bibliographic control through the production of a national bibliography which appears regularly;
- in developing Universal Bibliographic Control (UBC) by the production of national bibliographies in accordance with accepted international standards and practices;

(b) to give practical guidance on:

- the preparation of national bibliographic records;
- the production of a national bibliography;
- the administrative machinery required to carry out these two tasks (i.e. the role and functions of the national bibliographic agency).

They have been prepared taking into account the recommendations of the International Congress on National Bibliographies, September 1977, the International Framework for the National Bibliographic Agency accepted at that Congress, as well as the working and reference documents prepared for the Congress.

References to the Congress Recommendations occur throughout the text, but some of the Congress recommendations related not just to the national bibliographic agency and the national bibliography but also to other areas of concern in bibliographic control and recording and to future developments where international projects should be promoted. It is for this reason, to give the complete view of the Congress deliberations, as well as for ease in consultation, that the Recommendations are set out in full, with the text taken from the Congress Final Report, in Appendix B, and with the Framework appearing as Appendix C.

It is anticipated that the Guidelines, in presenting the practical optimum for the preparation of national bibliographic records and for the production of the printed national bibliography, and in setting out the functions of the national bibliographic agency, will have particular value for countries planning the establishment of a new or the improvement of an existing national bibliography.

In other countries, with long-established bibliographic traditions, the recommendations of the Congress and the proposals of the Guidelines, though not so

immediately relevant, may suggest practical ways by which any country, whatever its publishing practices, may upgrade the contents, coverage and appearance of its printed national bibliography, and hence contribute to the improvement of its national bibliographic control.

It should be noted that the recommendations of the Congress did not cover every detail in the preparation of bibliographic records and in the production of a national bibliography. In these instances, the Guidelines put forward suggestions which, although not discussed at the Congress, are consistent with approved international practices.

The samples of various letters, circulars, documents, etc., which are reproduced in Appendix A, were received from the National Library of Canada, Ottawa, and the Bibliographic Services Division of the British Library, London.

CHAPTER I

BIBLIOGRAPHIC CONTROL

1 Universal Bibliographic Control (UBC)

1.1 UBC is a long term programme and as such has been adopted by Unesco and IFLA as a major policy objective: to develop a world-wide system for the control and exchange of bibliographic information, in order to make universally and promptly available, in a form which is internationally acceptable, bibliographic information on publications issued in all countries. Through UBC it may be feasible to establish an international bibliographic network made up of "component national parts, all integrated at the international level to form the total system". (1)

1.2 UBC is a concept as well as a programme, and as such has as its basis two convictions:

- the recognition that each country is best qualified to identify and record the publications of its national authors;
- the acceptance by all countries of international bibliographic standards in making bibliographic records.

That is, in working to establish UBC, it is accepted that all countries can be considered as "component national parts", although the size of their contribution may vary.

1.3 As a corollary, if national bibliographic records are to be made in accordance with international standards, then part of the UBC programme must be devoted to projects concerned with the development of standards for the production of records - whether in human-readable or machine-readable form - which can be accepted and are acceptable internationally.

1.4 UBC as a long-term programme is very much related to our present environment and our current problems and requirements, as librarians and documentalists, in working in that environment: many more publications, many more users seeking the information contained in those publications. Hence UBC can never be considered as an isolated programme, an end in itself, but must always be available the knowledge of where information can be found and how publications can be acquired. UBC is inevitably linked with the long-term programme of UAP, the Universal Availability of Publications: UAP complements UBC by ensuring the means by which the publication, once identified, can be placed in the hands of the user.

2 National bibliographic control

2.1 In examining the requirements for UBC and in considering how best to develop the necessary tools, it is essential that equal attention be devoted to the needs of national bibliographic control, in order to establish effectively the "component national parts" which make up the international network.

2.2 The improvement of national bibliographic control also has its own special significance and value within each country:

- to discover, identify and record all the publications produced in a country,
  in order to:
  - build up the national library and archival collections;
  - satisfy the information needs of the nation;
  - contribute to the development of an integrated library, documentation and archival infrastructure.

2.3 It is apparent in considering national bibliographic control that we are concerned with two different kinds of concepts and materials. On the one hand, there are the physical objects, the publications produced within a country, which need to be identified, retrieved, collected and preserved: that is, the books and other materials which will ultimately find their place on the shelves of libraries. On the other hand, there are the bibliographic records which describe and identify the publications.

2.4 It is this aspect of bibliographic control which is the most vital and the more difficult to maintain: the publications by themselves are of no value to the information community without the records which inform of their existence and provide access to their contents. Moreover, the publication once it has reached the library shelf is static, does not change its content (though it may change its shape or container by re-binding, etc.). But there will be many records of that publication, which may vary in form, content, descriptive detail. Hence the emphasis in developing national bibliographic control, as with UBC, on the production of records in standardized form.

2.5 From the above, it is apparent that the improvement of national bibliographic control includes many processes in the production and recording of publications and many involve many organizations concerned with publications - publishers and printers, libraries, professional associations, copyright agencies, bibliographic and standards institutes, etc. It also encompasses a wide range of related publishing and bibliographic activities: for example,

the preparation of national cataloguing rules, the organization of national union catalogues, the production of publishing standards, etc. The range is wide, the programme flexible: each country can determine its own priorities in developing national bibliographic control, and can progress as resources are available.

2.6 In considering national bibliographic control in relation to UBC, however, there are essential requirements in developing the "component national parts"; within each country it is necessary to establish:

(a) the means of ensuring that it is possible to make the bibliographic record of each new publication as it is issued (i.e. by legal deposit or similar government regulation, or by voluntary agreement);

(b) the administrative machinery by which the bibliographic record can be made: that is, the establishment of an organization which will take on the role and functions of a national bibliographic agency and will:

- prepare the authoritative and comprehensive bibliographic record for each new publication issued in the country in accordance with accepted international bibliographic standards;
- publish those records with the shortest possible delay in a national bibliography which appears regularly.

The national bibliography, indeed, can be considered the major instrument in the improvement of national bibliographic control and in developing UBC.

3 The International Congress on National Bibliographies, 1977

3.1 It is because of the importance of national bibliographies that so much emphasis has been placed in the first stages of Unesco and IFLA's programme of UBC on their establishment and improvement. But, just as it is accepted that "component national parts" of the UBC system will vary in quantity and resources, so it is recognized that national bibliographies will vary greatly in size and contents. There are many aspects of national bibliographies that cannot be standardized internationally, and even though every national bibliography appears in printed form, there cannot be one model for all.

3.2 There are, however, aspects of every printed national bibliography which are the same, and, in the context of UBC, there are other aspects which require international standardization. It was with these two aims in view, to identify similarities and to suggest standard practices, that the International Congress on National Bibliographies was organized by Unesco in September 1977. Its objectives were:

(a) to reach agreement on minimum standards and/or acceptable practices for the coverage, content and form of national bibliographic records taking into account the requirements for their international exchange;

(b) to reach agreement on acceptable guidelines for the presentation, arrangement and frequency of the printed national bibliography;

(c) to discuss and make proposals for the sharing of resources to assist countries to achieve national bibliographic control, using manual or computerized methods of producing national bibliographies.

4 The national bibliography: outline of purpose and use

4.1 The national bibliography can be defined as the cumulation of the authoritative and comprehensive records of the national imprint of a country, published in printed form (and/or produced in other physical forms, such as catalogue cards, machine-readable tapes) regularly, and with the least possible delay.

By authoritative, it is implied that the records have been made by a responsible organization within a country, taking account of all possible national sources relating to authorship, publishing background, production date, etc.

By comprehensive, it is implied that the records of each publication includes the maximum of information details about that publication which can be required in a wide range of bibliographic activities.

4.2 The production of the national bibliography can also be a legal stipulation written into national deposit laws (see 6.4).

4.3 As already noted, it is recognized that national bibliographies vary greatly in size and contents, according to the size, resources, cultural and linguistic backgrounds of countries. Different interpretations of national imprint (see 16.2), different decisions on coverage, make also for varying contents.

On the other hand, the purposes of national bibliographies, and the uses to which they are put, are the same, whatever their size and their contents, and in whatever physical form they appear. Some of the uses are immediate and direct; others long-term and indirect.

4.4 The national bibliography, as soon as it is published, functions as a practical information tool. Its records provide all the information required for:

(a) selection and acquisition (e.g. name of publisher, price, indication of subject content, extent of publication, etc.);

(b) identification and reference (e.g. authorship, bibliographic history, etc.).

The largest proportion of users of the national bibliography for purposes (a) and (b) are booksellers, librarians, and others working in the information field.

4.5 The records will also serve as model catalogue entries and as such will be copied by libraries and other information organizations; or, when provided in the form of catalogue cards (see 12.1, 30) will be used directly in library catalogues.

4.6 Long term, the national bibliography serves as the retrospective bibliography of the national imprint, and as such has historical and archival importance, reflecting the changing pattern of a country's social, literary and economic growth.

As such, it becomes a fundamental reference source for all interested in aspects of a country's growth and development.

4.7 The national bibliography can also serve additional if less obvious purposes by providing information to ministeries, government planners, official organizations. Examination of its records will:

(a) give the statistical account of a country's publishing output;

(b) provide evidence of the impact of government policies in relation to education, language, economic programmes, etc.;

(c) reveal the extent of a country's self sufficiency in producing the publications it requires; that is, show where and to what extent national publication programmes should be developed if the import of publications is to be restricted.

In relation to (a) above, the records of the national bibliography will also reflect the success or failure of national deposit laws (see 6.4).

4.8 In this Chapter an outline only has been given of the national bibliography, its importance in promoting national bibliographic control, and of its purpose and uses. In the Chapters which follow, these points are amplified and discussed in detail, with suggestions and recommendations.

First is discussed the administrative machinery required to prepare the records and produce the national bibliography: the organization which takes on the role and functions of the national bibliographic agency.

The other Chapters deal with the national bibliography itself, the contents of its records, the bibliographic standards to be used to satisfy the national and international requirements; and the printed national bibliography, its layout and arrangement.

CHAPTER II

THE NATIONAL BIBLIOGRAPHIC AGENCY: ROLE AND STRUCTURE

5 The agency defined

5.1 The national bibliographic agency is the organizational unit established within a country's library system which undertakes responsibility for:

- preparing the authoritative and comprehensive bibliographic record for each new publication issued in the country, and making that record in accordance with accepted international bibliographic standards;
- publishing those records with the shortest possible delay in a national bibliography which appears regularly (see 2.6 and 4.1).

5.2 In order to carry out these two functions, the national bibliographic agency requires an organizational and administrative structure which allows:

- access to the publications quickly and easily;
- staff experience and resources in order to prepare the bibliographic records; that is, staff with professional qualifications, language expertise, the experience and ability to serve and contribute to the national library community and communicate with the international;
- organizational and financial resources to produce the national bibliography in printed, and/or other physical forms;
- legislative framework to carry out the above.

5.3 In carrying out these basic functions, the agency may also accept responsibility for other functions which are supportive, or additional. These are discussed in detail in Chapter III.

5.4 The types of organizational units which at present carry out the role and functions of the national bibliographic agency are varied, and the administrative arrangements are different in respect of resources and locale. The name national bibliographic agency is rarely used, but can be considered rather as the generic term for all such units.

But all, irrespective of name and position within a country's library system, are alike in having available the requirements set out in 5.2. These are discussed in detail below, with some examples given and with some proposals and recommendations.

6 Its access to national publications

6.1 It is accepted that the authoritative records of the country's imprint are made after examination of the publications themselves, not from information taken from publishers' lists, advertisements, etc. (with the exception noted in 11.5).

Hence the requirement that the agency has access easily and quickly to the physical items which make up the national imprint.

6.2 The definition of the national imprint as "the products of the national publishing industry" is not always straightforward. Some queries on the identification of a national publication will be solved by the stipulations of deposit law (see 6.4); in other cases the agency will need to determine the origins of a publication and decide whether it is part of the national imprint.

6.2.1 In many cases, for example, the national imprint cannot be identified clearly with a particular territorial or political region. Publications relate equally to cultural environments and language boundaries, and there can be problems in determining in which country a publication first appeared. Some publications may be subject to the deposit laws of several countries. Co-operation among several agencies will be required in these cases, to determine which is to prepare the authoritative record (see 16.2).

6.2.2 On the other hand, the definition of national imprint clearly includes:

- publications produced by minority ethnic groups within a country appearing in languages and/or scripts different from those in general use in the country;
- the official and semi-official publications produced by government ministries and departments and by official national councils, research institutes, etc.;
- printed non-text publications, such as maps, music, etc.;
- non-text publications: that is, non-book and/or audio-visual materials, such as films, cassettes, video-tapes, machine-readable files, etc.

6.3 In the majority of countries, the publications of the national imprint are as a matter of government policy collected by at least one major library which may be designated "The National Library". In most countries, moreover,

national publications are received at that library, and possibly at others, by law, under stipulated terms of legal deposit (see 6.4). The publications thus received form part of the national collection, and will be catalogued as such at the national library (or other designated library).

It is apparent that there are advantages where the national bibliographic agency is established in close physical proximity to a national or deposit library; or is established by an administrative arrangement within a national or deposit library (see 8).

6.4 Deposit laws already exist in many countries, which, in stipulating the terms of deposit, also provide definitions of the kinds of publications which are to be deposited. However, many of these laws date back one, two or even three centuries, and the stipulations are no longer relevant to the existing library structure or are inadequate in terminology or in providing for new forms of publications.

6.4.1 It was for this reason that the International Congress in discussing legal deposit made certain recommendations. Countries were requested to re-examine existing legislation in relation to present and future requirements; and those without deposit laws were asked to introduce them. The Congress also recommended that new deposit laws:

- should state the objective of legal deposit in relation to the national bibliography (see 4.2);
- should be comprehensive in terminology and wording so as to include new forms of materials of information content;
- should include measures for the enforcement of the laws (Recommendations 1-3).

Recommendation 4, that Unesco should provide draft model deposit legislation, is a project currently underway. It is recognized that there cannot be one deposit law which will serve the needs of every country, but the guidelines which are in preparation will take account of the points made above with suggestions on problems of copyright, responsibility for delivery, etc. (2).

6.5 In many instances where deposit laws are not comprehensive enough or are so inadequately worded that their stipulations can be avoided easily, the agency will require access to the publications by other means. Schemes for the voluntary deposit of some kinds of material may be established among publishers. The agency may even accept the responsibility of purchasing some limited categories of publications.

6.5.1 The latter solution will more often be a necessity for those agencies which aim to record publications not only of the national imprint but also of national significance (e.g. works by national authors). (This is discussed in 18). Access to the physical items in these cases will usually require purchase, if not by the agency, then by the national library in making such publications part of the national collection.

6.5.2 For some specialized categories of publication, the agency may prefer to make use of the resources of the specialized organizations within the country, and arrange that the authoritative records are made where there is not only the special material but also the expertise in dealing with it: a form of decentralized input to the national bibliography (see also 8.7).

6.6 It is apparent from the points noted in 6.4 and 6.5, that there will be advantages in order to ensure access to the national publications, when the agency not only is located in close proximity to the national or deposit library, but also maintains the office of legal deposit or other collection point for national publications.

This is a function <u>additional</u> to the two primary functions of the agency as stipulated in 5.1, but has obvious advantages in retrieving, identifying and locating national publications.

6.6.1 To operate the office of legal deposit, the agency will carry out some additional tasks and may need additional resources: for example:

- visits to publishers and printers;
- examination of announcements and advertisements in national and local newspapers;
- liaison with government department and the government printing office;
- establishment of measures to enforce the deposit law;
- establishment of an effective clerical routine of registration, receipts, checks, follow-ups.

Examples of some of the required documents are given in Appendix A.

In countries where the provisions of deposit law require a publication registration number (or the International Standard Book Number, see 11.4.1), the combination of the agency with the office of legal deposit seems particularly appropriate.

7 Legislative framework for the agency

7.1 It must be emphasized that no one model for the legislative framework of a national bibliographic agency will be applicable to all countries. There are many differing levels of government control over economic and social development; there are differences between 'federal' and 'state' legislation. There are also variations in legislative style so that what in one country may be expressed in general terms, in another will be set out in detail, step by step, showing how particular objectives are to be reached.

It is certain, however, that whatever the background of the country, the present trend is towards mandatory rather than permissive legislation; that is, legal requirements which stipulate that certain functions must be carried out. Legislation has a special significance in establishing an organization: it implies that the means will be available to maintain it as well as the stated will in its establishment. (3)

7.2 When the agency is an administrative unit within a larger institution - in a national or large university library - then the legal basis on which it operates is subsumed in the legal basis of the larger organization. But it is essential in every instance that there is legislation defining the functions and purposes of the agency (as noted in 5.1) with its terms of reference.

7.3 There are particular functions of the agency which require legal specifications whether the agency is part of a larger organization or a separate institute. For example:

- determination of the administrative structure of the agency: its governing body, its membership, powers, responsibilities; and to which superior body it reports;
- determination of the financial basis of the agency; source of its funding; ability to purchase, to sell its own products;
- determination of the functions of the agency in relation to the production of the national bibliography; requirement to publish regularly; copyright of the records, etc.
- ability of the agency to enter into relationships with other organizations within the country or elsewhere;
- ability to enter into contracts: building, research and development costs, staff employment contracts; determination of salary scales; ability to run staff training courses, etc.

The legislative basis of the agency in obtaining access to national publications has already been discussed in 6.3 and 6.4.

8 The agency within the national library

8.1 As already discussed in 6.2, there are apparent advantages in obtaining quick and easy access to national publications when the agency is established near or as an administrative unit within a national or deposit library.

It has also been noted in 7.2 and 7.3 that when the agency is part of a larger organization, there will be advantages with regard to the legislative authority in running the agency on a continuing basis, as regards maintenance and operational costs, staff resources, etc. The National Library of Nigeria Act, 1970, for example, states that the Library is "to include a national bibliographic agency". (4)

8.2 It is suggested that the establishment of the agency as an administrative unit within the national library (or other library which receives national publications under deposit law) is an organizational arrangement which is most economical of resources and staff.

The advantages will be not only for the agency: the authoritative records of publications prepared by the agency staff for the national bibliography can serve also as the catalogue entries for the national collection. In an administrative sense, the same cataloguing staff manage the national library catalogues and the national bibliography entries: the record is prepared once to serve the two purposes.

8.3 In countries where the structure for an integrated library, documentation and archival system has already been established, or is planned, the suggestion set out in 8.2 will have already been considered and may have been approved. It is, moreover, in accordance with the many discussions which have taken place in the past twenty years on the role and functions of the national library (since the Symposium in Vienna in 1959) (5) and in keeping with the functions of the national library specified originally in the United Kingdom government report on university libraries (the Parry Report) which have been accepted thereafter internationally.

8.4 The "fundamental duties of the national library" were considered to be:

(a) the outstanding and central collection of a nation's literature (that is, the national collection);

(b) the most important collection of books received under legal deposit or under terms of a copyright act;

(c) the fullest coverage of foreign literature;

(d) the publication of the national bibliography;

(e) the national bibliographical information centre;

(f) the publication of catalogues (that is, union catalogues) of material in the national library and in the country's libraries.

Another seven ancillary functions were identified which, it was agreed, could be carried out by the national library or, where more appropriate, could be undertaken by other libraries or bibliographic organizations. (6)

8.5 The establishment of the national bibliographic agency as an administrative unit within the national library to carry out "fundamental duty (d)" follows as a natural corollary. There have been instances when the designation of a particular library by government decree as the national library has been followed by the immediate appearance of a national bibliography. Such an example is Guyana, where the Public Library, designated in 1973 as the National Library, produced the first issues of the national bibliography in 1974.

There have also been examples of development the other way: in Canada, for example, the centre established in 1950 to undertake bibliographic tasks, including the publication of the national bibliography, expanded its functions in 1953 to become the national library. (7)

8.6 In some countries old bibliographic structures are being integrated into a new national library system which is more centralized and more economical, and within the national library an organizational unit has been established devoted to bibliographic activities. In France, for example, there has been the creation of the Centre bibliographique national within the Bibliothèque nationale, which among its responsibilities deals with all matters concerned with the production of the national bibliography. In the United Kingdom, within the British Library, its Bibliographic Services Division has taken over functions previously performed by the commercial organization, the British National Bibliography Ltd. In the Netherlands, proposals to establish a national bibliographic centre, which among its tasks would take over the production of the national bibliography (currently produced commercially under the title of its publisher Brinkman's Cumulatiev Catalogus), are linked to the introduction of a system of legal deposit. (8)

8.7 In some countries the national library structure is more complex with the designation of two or more libraries as national libraries, each carrying out the functions set out in 8.4, but within a limited specialized subject field, such as agriculture or medicine or science. A further complication can be the designation of several national libraries each responsible for the collection of specialist types of materials (such as maps or music or films). In such cases the preparation of the authoritative national bibliographic records can be shared among the libraries, with the production of several specialized bibliographies. Alternatively, one library can maintain the organizational unit which undertakes the production of the national bibliography: a matter of decentralized input (see also 6.5).

9 Other administrative structures for the agency

9.1 Other organizational patterns for the agency exist which, in turn, can relate to old-established library traditions or to geographical and political structures. In Denmark, for example, there is the long-established tradition of the sharing of bibliographic functions, with the Royal Library and the University Library preparing the records and the production of the national bibliography, the responsibility of the Bibliotekscentralen. In countries with a federal structure, overall responsibility for the production of the national bibliography can be allocated to an agency independently established and administered, to which the national libraries of the several states relate and contribute their records: for example, the Bibliographic Institute in Belgrade, Yugoslavia.

9.2 In countries where the national library is in process of planning or development, and where legislation does not yet exist in relation to a national library or deposit laws, the tasks of locating national publications, acquiring them, and making authoritative records can be undertaken voluntarily by an existing organization - for example, a university library - with the records published in an issue of a university journal or listed as part of the university library's accession list. In these circumstances, the university library (or other library undertaking this task) has extended its role, and is acting, to a limited extent and, it is to be hoped, for a short time only, as the national bibliographic agency.

10 Names and resources

10.1 As already noted in 5.4, the name national bibliographic agency has so far been rarely used for the organizational unit which carries out the functions outlined in 5.1 with the requirements set out in 5.2. Instead we have a

variety of names and administrative structures: the agency carrying out the functions may have as its name:

- a department, division, or section of a national library;
- a processing centre serviced by several specialized national libraries;
- a bibliographic centre;
- a bibliographic institute:
- or any other name which is appropriate in the national library structure and national bibliographic tradition.

10.2 Just as the names vary, so do the resources and sizes of national bibliographic agencies. In one national library, two cataloguers, a typist and a copying machine can be adequate to prepare the authoritative records and produce the printed national bibliography. In another country, an agency with a staff of three hundred can be involved not only in the primary functions of the agency but also in a wide range of additional functions, at both the national and international levels. These are discussed in the next Chapter.

CHAPTER III

THE NATIONAL BIBLIOGRAPHIC AGENCY: EXTENDED ROLE

11 Additional functions of the agency

11.1 In addition to its primary functions (see 5.1), the agency will carry out other bibliographic activities. Some of these follow directly as a consequence of its primary responsibilities. Other functions can be considered as complementary or supportive, and the agency will choose to take on these tasks as and when resources are available. The additional functions can all be considered of importance in improving national bibliographic control, in assisting the country's information community, or in developing further facets of the country's library infrastructure.

The additional functions first discussed are those which relate most directly to the agency's primary responsibilities.

11.2 In order to ensure access to national publications, the agency can maintain the office for legal deposit or other collection point for the national imprint; and will undertake particular tasks in relation to that office (see 6.6).

11.3 As an essential process in preparing the authoritative bibliographic records of national publications, the agency will maintain the national authority file of authors' personal names and the authoritative forms of names of official and corporate bodies.

11.3.1 In order to establish the authoritative forms of personal authors, the agency will require, on receipt of a publication, to send a request form to the author asking for details of their preferred form of name, of publications previously issued, of other names used, etc. Examples of some of the required documents are given in Appendix A.

11.3.2 In some countries, associated with the establishment of authoritative forms of personal authors' names, is the problem of determining national rules for the entry of personal names (i.e. cataloguing rules to show which element of a personal name should be regarded as the entry element, to decide the order of elements of a name, to give the order for prefixes, etc.). For this purpose the staff of the agency will work in close association with colleagues from other national library organizations and professional associations. (9)

11.3.3 The agency, as with personal authors' names, will also take steps to establish the authoritative forms of names for national corporate bodies: ministries, official corporations, research institutes, departments, etc., with references to earlier names, varying forms of names.

11.3.4 The national authority file of personal and corporate body authors will be maintained by the agency, with cross references, sources of information, variations of names, earlier forms of names, preferred and authoritative forms. In most countries at the moment authority files are maintained as card catalogues; with the consequent measure of inaccessibility to other than the staff of the agency. In some countries, authority file information is also available in machine-readable form, thus making it accessible nationally and internationally to other organizations. (10)

As an interim measure, a number of agencies are publishing lists of the uniform headings (i.e. the authoritative form of names) of national official bodies, a service of value nationally and internationally. (11)

11.4 In order to develop other aspects of national bibliographic control, the agency will extend its functions, in association with publishers and printers, so as to ensure that its authoritative records are as comprehensive as possible by the inclusion of international identification numbers for the national imprint: in particular, the International Standard Book Number (ISBN) and the International Standard Serial Number (ISSN).

The allocation of ISBNs and ISSNs are dependent upon specialized national agencies or centres within a country or region.

11.4.1 International Standard Book Numbers are allocated by publishers and the numbers, as defined in ISO International Standard 2108-1972, relate to language and country, publisher, and individual publication.

In many countries the national ISBN agency is organized by the national publishers' association, or by one publisher acting as a national or regional agency. In other countries, however, especially where there is no active association of publishers, the national ISBN agency will be maintained by the national bibliographic agency, with the responsibility of registering publishers and allocating ISBNs. In some countries (Spain, for example), the allocation of ISBNs is a stipulation of deposit law, thus ensuring identification and control of each new publication. There are apparent advantages where the national bibliographic agency acts also as the ISBN agency in that ISBNs can thereafter be used with some certainty as control numbers in any national systems of identifying records or retrieving publications.

The establishment of a national ISBN agency is undertaken in consultation with the International ISBN Agency, Berlin, which will advise on requirements and allocate the correctly coded numbers. (12)

11.4.2 As an essential complementary function, the agency may consider the establishment of a national serial centre within the agency, as one unit of the International Serials Data System (ISDS) relating to the International Centre for the Registration of Serial Publications, Paris. (13) As the agency is already receiving and recording new serials for the national bibliography, it seems logical and economical that it should also maintain the national ISDS serial centre, contribute its serial records to the International Centre and hence become part of the international communications system for serials.

The problems in setting up a national ISDS serial centre are twofold:

11.4.2.1 The ISDS is an intergovernmental system, under Unesco sponsorship, and the approach for establishing a national serial centre must be made officially at governmental level, possibly in the first place through the Unesco National Commission. There are also certain statutory obligations in maintaining a national serial centre, in relation to the International Centre and to other national and regional centres.

A national ISDS serial centre, once national approval has been given officially to the ISDS statutes, is entitled to send representatives to the ISDS General Assembly, and possibly have a representative as a member of the Governing Board of the International Centre; it may also be requested to contribute financially to the running of the International Centre. In return, the resources of the International Centre, and its publications, such as the international register of serial titles, etc., will be available to the national ISDS centre for national distribution and use.

11.4.2.2 Bibliographic serial records prepared by national ISDS centres for the International Centre follow specific international rules, including the allocation of key-titles and the ISSNs (14), and these rules for identifying and describing serials may differ from those used in the agency in making the record for the national bibliography. The agency has, therefore, to take account of staff resources and possible duplication in time and effort, in making two records for each new serial, which serve different purposes and may be almost but not quite identical. (15)

11.5 As noted in 4.4(a), one major use of the national bibliography is as a selection and acquisition tool for both the national and international information communities; for this purpose the quicker the record appears in the national bibliography, the better for both purchaser and publisher. Hence, in recent years, the development of a number of co-operative schemes between publishers and national bibliographic agencies whereby bibliographic information in advance of publication is supplied to the agency, from which a brief record is prepared to make an early appearance in the national bibliography.

Such Cataloguing-in-Publication (CIP) schemes are currently in operation in a number of countries (for example, Australia, Brazil, Canada, Federal Republic of Germany, United Kingdom, United States of America), some as straightforward co-operative schemes between agencies and publishers; others (as in Canada) as a co-operative venture among a number of libraries; or (as in Brazil) as a separate organization supported by publishers but independent of the national library and national bibliographic agency. (16)

11.5.1 The national bibliographic agency, in considering the extension of its functions to include a CIP scheme, has, first, to ensure the co-operation of publishers (and hence the advantages where a well-organized publishing industry exists); second, the allocation of staff within the agency to prepare CIP records from the forms and advance information, page proofs, jacket copy, etc. (not the publication itself; the exception to the statement made in 6.1); and third, the means by which the CIP brief records are to be incorporated into the national bibliography, later to be upgraded or replaced by the comprehensive record.

Considerable initial effort is required on the part of the agency to organize CIP schemes, to "sell" the advantages to publishers, and to prepare the system and necessary documentation. It is worth noting that in Australia a feasibility study was conducted with the co-operation of only one publisher, in advance of the introduction of the full CIP scheme. (17)

Examples of some of the required documents are given in Appendix A.

12 The role of the agency in developing cataloguing rules, bibliographic standards, extensions to classification schemes

12.1 As noted in 4.5, the authoritative record in the printed national bibliography serves as a model, and, when made in accordance with international standards, will be copied, or adapted, in many libraries nationally and internationally. Moreover, when the agency also supplies national records in other physical forms, as catalogue cards or machine readable tapes, it will be acting as a national cataloguing co-ordinating centre and may also be the national centre for the international exchange of records. (In the Parry report this was considered one of the possible ancillary functions of the national library: see 8.4).

12.2 To prepare authoritative records which follow international standards and which also serve as model catalogue entries for the national community, it is essential that the agency co-operates closely with other national organizations and professional associations in the establishment of national cataloguing rules and bibliographic standards; and when new rules are to be introduced, co-operates in the provision of training courses, workshops, etc. (Also considered a possible ancillary function of the national library).

The agency has the commitment to prepare comprehensive records, but other libraries in using the national bibliography records as models, may consider that their requirements are for a less full record. National cataloguing rules, though based on international principles and practices, may provide varying levels of descriptive detail for the records required for the catalogues of different kinds of libraries. (18) Again the experience and co-operation of agency staff is essential so that national rules and international requirements are compatible.

12.3 It is indeed essential that the agency, in following international standards for the authoritative records, recognizes that national requirements and international demands may at times conflict, and is prepared to consider adjustments where necessary to satisfy national requirements in making the bibliographic record; for example, the use of some geographical headings in the language of the country may be provided as well as those, for international exchange, in the language of the original.

The agency in this respect forms a link between the national and international library communities, a channel of communications.

12.4 The agency may also be involved, in association with other national organizations, in the development of national extensions to internationally-used classification schemes. This will be a task undertaken in consultation with the producers or publishers of such schemes and will usually relate to the amplification or extension of schedules concerning the geography or history of the country, its languages, literatures and possibly religion. For example, extensions of the Dewey Decimal Classification (DDC) have been prepared in Malaysia and Singapore, in consultation with the Forest Press, publishers of DDC, for Malaysian literature, Singapore geography, etc. In Iran detailed Library of Congress schedules for Islam and Persian literature have been prepared in consultation with other Islamic countries and with the Library of Congress. (See also 22.6, 27)

13 Functions relating to availability as well as control

13.1 It has already been noted in 1.4 how the two international programmes of UBC and UAP can be considered as complementary, and at the national level there are also situations where control and availability can be seen as two facets to the use of the bibliographic record.

13.2 For example, the agency can undertake to maintain the national union catalogues of publications held in the major libraries throughout the country. This can be considered also as an extension of its role as a national cataloguing co-ordinating centre, and has some immediate advantages: centralized holdings; improved uniformity in the content and possible layout of records; locating additional material for the national collection; assisting in the establishment of name authority files.

13.2.1 It is recognized, however, that the costs and the tasks of maintaining union catalogues are considerable, particularly when in card form, with increasing demands on space and staff time to check and file cards.

13.2.2 On the other hand, advantages may outweigh the problems, depending upon the use made of union catalogues. This in itself will vary from country to country, dependent on such factors as geography and communications (for example, good postal facilities and poor transport); and also on national policies of acquisition and inter-lending (for example, when the agency is a unit of the national library which acts as the national centre for inter-lending).

13.3 As already noted in 4.5, over a period of time the cumulation of issues of the printed national bibliography will have archival value; it will be the record of a country's publications over thirty, fifty, one hundred years (the Belgian national bibliography began in 1874) and thus provides a valuable source in reflecting economic and social change.

When the agency also maintains national union catalogues, there is the prospect of achieving retrospective bibliographic control: the comprehensive records of the publications of the country from its earliest date of printing with the addition of national locations for the publications themselves, the physical items.

13.3.1 There has recently been a new interest in some countries in the development of retrospective bibliographic control through the re-cataloguing of older material, making use of modern mechanization processes; for example, the current co-operative project of the United Kingdom and American libraries for eighteenth century English language publications (the ESTC) (19), and similar projects under way in the Netherlands and France, Germany, etc.

The national bibliographic agency, if it is to be involved in such projects through the maintenance of extensive union catalogues and the co-operative re-cataloguing of older publications, will require the assurance of considerable long-term resources, of management and technology and the necessary staff expertise.

14 The agency and the information community

14.1 The agency may also be requested to widen the range of its activities to include some which will have more direct benefit to the information community rather than the more traditional library community. For example, in the absence of a specialized institute within a country, the agency can become the national component in one of the specialized international information systems - such as AGRIS, INIS - and as such will contribute national records (probably in a style or format different from that used for the national bibliography) not only of specialized national publications, but will also analyze the contents of specialized national serials. The International Congress in discussing these points, recommended further study (Recommendation 18).

14.2 Indeed, in some countries the analysis of national serials is already considered a valuable and necessary input to the national bibliography, and one part or special issue of the printed national bibliography may be devoted to records which describe and identify the contents of important national serials, conference proceedings, etc.

These issues of the national bibliography, in turn, may be scanned and examined by specialized national and international indexing services, and the records will thereafter be serving the needs of the abstracting and indexing community.

14.3 In a country in the process of planning and developing a fully integrated library and documentation infrastructure, the tasks set out in 14.1 and 14.2 can with advantages be performed by the national bibliographic agency, providing both a national service and contribution to the international information community.

15 Future developments

15.1 As the international communications system of UBC develops, and, at the same time, as more and more national library systems are automated, the national bibliographic agency is likely to be asked to undertake more functions: for example, the export of national records in machine-readable form; acting as the national centre for the receipt of tapes from other agencies. The international MARC (machine-readable) network is already in existence and its members, the larger national agencies exchanging tapes in machine-readable form, are considering their requirements with the essential constant and constructive co-operation in the next stages of development at the international level. (20)

15.2 The development of an integrated national library system is not, and should not be considered to be, dependent upon the use of the computer within the system. What is essential, however, wherever the country and whatever its resources, is co-operation among national organizations in developing aspects of national bibliographic control - and thus contributing to the building of UBC.

In this sense the national bibliographic agency and its staff has one other essential function to perform, one that is perhaps basic to all national library development: participation with colleagues from other national organizations throughout the country in research, in training, in development programmes, all leading to the improvement of the national library system.

CHAPTER IV

THE NATIONAL BIBLIOGRAPHY: SELECTION OF MATERIAL TO BE RECORDED

16 Recording the national imprint

16.1 As defined in 4.1, the national bibliography is the cumulation of the authoritative and comprehensive records of the national imprint of a country. But it has also been noted in 6.2 that the definition of national imprint is not always straightforward and, moreover, many existing deposit laws (see 6.4) are out of date in defining national publications and in their stipulations.

It is accepted, therefore, that not every item which is part of the national imprint will be recorded in the national bibliography; nor necessarily every publication received under legal deposit stipulations.

The decision as to what is to be the coverage of the national bibliography rests with each country: whether the coverage is to be as comprehensive as possible, in relation to deposit laws; or whether there is to be a selection of categories of materials in accordance with an accepted policy agreed by the agency in consultation with other organizations within the country and taking account of the country's particular needs and resources.

Some of the reasons for selection rather than comprehensive listing are discussed below.

16.2 As already noted in 6.2.1, the national imprint does not always relate to geographic and political boundaries, and there can be problems in determining in some instances in which country a publication first appeared. Many German and French language publications are the products of multinational publishing companies with offices in several countries, with a variety of addresses appearing on the title pages of their publications, and subject of different deposit laws. Co-operation among national bibliographic agencies will be essential to determine the limits of the national imprint and decide in which national bibliography the authoritative record should appear. In some cases decisions have been made solely on the differences appearing on title pages: the Austrian imprint, for example, is considered to include only those publications where the name and address of the Austrian publisher appears first on the title page, but in Belgium the distinction is more generous and the Belgian imprint is considered to include every publication with the name and address of a Belgian publisher anywhere on the title page. (21)

16.3 Basic to the decision of comprehensive coverage or selection is the question of the size of the national imprint. It is recognized that the publishing output of some countries is too large to contemplate the inclusion of a comprehensive bibliographic record for every pamphlet, every small society's newsletter, etc. However, the smaller the quantity of the annual publishing output, the more important it seems that the coverage in the national bibliography be as comprehensive as possible in relation to deposit stipulations. For example, the four English-speaking territories of the Caribbean, in reaching decisions with regard to the coverage of their national bibliographies in 1974, agreed that "... there should be no exclusions: materials from 1st page upwards should be included". (22).

Certainly, in considering the use of the national bibliography as an historical resource tool (see 4.5), its value for future generations will be enhanced by as complete a coverage as possible.

16.4 Other criteria are taken into consideration by national agencies in determining the selection of publications to be recorded in the national bibliography. Several criteria of selection relate to the physical properties of the publication: for example, the way in which it has been reproduced (photocopied publications may be excluded); how many copies have been produced (if the number is limited to 50 or 100, the publication may be excluded because it has not been available for "public distribution"); whether the publication is available generally or only for limited distribution (for example, to members of a society); the nature of its contents (pornography, knitting patters may be excluded); and to its size. The last criteria appears to be the most common: a number of national bibliographies exclude publications with a limited number of pages: for example, 5 pages in Austria, Belgium, Poland, and less than 17 pages, for non-book-trade publications in Denmark.

17 Categories of publications to be recorded

17.1 The inclusion of different categories of publications in the national bibliography is a further decision which rests with the agency, and is in many instances dependent on its resources, and its legal deposit stipulations (see 6.2.2, 6.4).

17.2 Various studies have been made of the contents of existing national bibliographies including an analysis of the categories covered, with the possibility of establishing a list of priorities of materials which each national bibliography could aim to realize as and when resources are available.

At present, the following categories of materials appear in issues of some national bibliographies (the Cheffins list):

> annual reports; articles from journals; audio-visual material; bank notes; calendars; conference proceedings; ephemera (not defined); exhibition catalogues; films; government publications; laboratory manuals; maps; microforms; monographs; monographs (new editions); monographs (new impressions); monograph series; newspapers; offprints; patents (collected editions only); periodicals (new titles); posters; printed music; prints; recorded music; research reports; sales catalogues; stamps; standards; syllabuses; theses; timetables; trade literature; translations; works in Braille.

The descriptive terms used above are also subject to varying definitions and possible expansions, and a number of studies are currently under way to distinguish categories of publications and to determine the requirements for inclusion and exclusion in the national bibliography. (23)

17.3 The International Congress in discussing the coverage of material to be included in the national bibliography and taking into account the points made in 16.3-5, made the following recommendation:

> "National bibliographies, as a minimum, should include the records for monographs and first issues and title changes of serials, including official publications, of the national imprint; other categories of materials should be included as rapidly as possible to meet the requirements of the national library community and the resources of the national bibliographic agency". (Recommendation 5)

17.4 The recommendation covers the various items of national imprint noted in 6.2.2, but the Congress made a further distinct recommendation in relation to particular categories of publications of the national imprint, those appearing in languages and/or scripts different from those generally used in the country, and recommended that:

> "The national bibliography should include records for materials in all the languages and/or scripts in which publications are produced within a country; and wherever possible these records should be in the languages and/or scripts in which the publications originally appeared". (Recommendation 6)

18 Inclusion of publications not part of the national imprint

18.1 The agency may, as a matter of policy, determine that the national bibliography should include not only the records of the national imprint but also certain other categories of material. These generally relate specifically to the country and can be considered part of the national collection, that is, all publications relating to any aspects of the country's cultural, historical, geographical and linguistic environment.

18.2 Some of the publications of the national collection which the agency may choose to include are:

18.2.1 Publications of the works of national authors which have been published in other countries (Cheffins lists 14 national bibliographies which include records of these). This category may be considered particularly important for some small countries whose national authors have won international reputations and whose works have world wide sales; for example, some Caribbean authors.

18.2.2 Publications and journal articles whose subject content relates to the country of the national bibliography (included in 21 national bibliographies according to Cheffins). It is recognized that coverage of publications of this kind will never be complete, depending as it does upon the alertness of the agency in tracing such publications and in its resources in obtaining copies (as noted in 6.5). Alternatively records may be taken directly from another national bibliography (see 18.2.3).

18.2.3 Publications in the language(s) of the country published elsewhere (4 national bibliographies according to Cheffins). The national bibliography of the Federal Republic of Germany, for example, aims to include the records of German language publications taken from other national bibliographies, such as the Austrian; and the Hungarian national bibliography produces one section devoted to Hungarica published outside the country. It is accepted with this category also that coverage can not be complete.

18.3 In some instances, usually for reasons of historical background or tradition, a national bibliography may continue to include publications of another country once linked through politics, history or language. The French national bibliography, for example, includes the publications of some countries now independent, but once part of the French colonial empire such as Chad, as an interim measure until that country can produce its own bibliography. For traditional and cultural reasons, and to provide a wider infor-

mation service, the British national bibliography includes records for publications in Eire, although a national bibliography is produced there.

18.4 In some countries the agency may consider it has the additional responsibility of including the records of the publications produced by intergovernmental organizations and other international organizations with headquarters located within the country. At the same time those organizations are usually producing lists of their own publications, although at the moment few produce comprehensive current bibliographies.

Inclusion of such records in national bibliographies is naturally selective, and it would impose an unfair burden on the national bibliography of a country such as Switzerland if the agency were required to consider the publications of intergovernmental organizations as part of the national imprint, all to be recorded.

18.4.1 The International Congress in discussing the problem of the present inadequate control of the publications of intergovernmental organizations believed that the solutions should rest with the organizations themselves to both prepare the authoritative records of their publications and to produce a bibliography. The Congress Recommendations were:

> "Intergovernmental and international non-governmental organizations should introduce cataloguing-in-publication schemes in accordance with international bibliographic standards";
>
> and
>
> "Intergovernmental organizations should co-operate in a joint effort to produce a current bibliography of all their publications". Recommendations 16, 17)

18.5 It is recognized that the inclusion of records of publications not part of the national imprint will mean the appearance of records of some publications in one or more national bibliographies, in one as part of the national imprint, and therefore the authoritative record; and in others, because of the significance of subject content, language, authorships, etc. As international practices in bibliographic recording develop, it is to be hoped that these records for the same publication will not differ; but it is important to make the distinction clear, that records for publications not of the national imprint are marked in some distinctive manner (for example, coded in a machine-readable record; marked with an asterisk in the printed national bibliography).

18.5.1 The International Congress, accepting that for some countries it was important and valuable in the interests of the national collection and national cultural tradition to include records for publications not of the national imprint, recommended that:

> "When national bibliographic agencies for linguistic, cultural or other reasons include records for publications clearly not part of the national imprint, such records should be identified as not belonging to the national imprint". (Recommendation 5)

19 Statements of coverage

19.1 As already discussed in 16, 17 and 18, the agency is not bound to include a record in the national bibliography for every item of the national imprint and every publication received under legal deposit, and a policy establishing the criteria for inclusion and exclusion needs to be formulated and followed.

19.2 It is important that the basis of this policy is known to the users of the national bibliography; that the agency has prepared statements of inclusion and exclusion in printed form available for users and that in the issues of the printed national bibliography such a statement appears in the preliminary pages. The International Congress, in considering the presentation of the printed national bibliography, recommended that each printed issue in its introduction should include details stating:

> "the basis for the records, for example, records made from copies deposited in the national library in accordance with legal deposit stipulations;
>
> coverage, including exceptions....." (Recommendation 10)

CHAPTER V

THE NATIONAL BIBLIOGRAPHY: PREPARATION OF THE RECORDS

20 Authoritative and comprehensive records

20.1 As defined in 4.1, the national bibliography is the cumulation of the authoritative and comprehensive records of the national imprint of a country, and the records, in order to develop the UBC system, are prepared by the national bibliographic agency in accordance with accepted international bibliographic standards.

20.2 As described in 11.3, it is the responsibility of the agency to ensure that the records are as authoritative as possible with regard to the authenticity of author's name, the bibliographic history of the work, the dating of its production, etc.

20.3 It is emphasized that it is the responsibility of the agency alone to make the comprehensive national records. Other cataloguing agencies, or libraries using the records of the national bibliography, can select elements (that is, make shorter records) as considered necessary within the context of a particular collection or in consideration of the needs of their users.

21 Abbreviated records

21.1 There are certain situations, however, when less than comprehensive records may appear in the national bibliography.

21.2 As noted in 11.5, some agencies, as part of a national cataloguing-in-publication scheme, are preparing records, which will appear first in abbreviated form in the national bibliography, later to re-appear upgraded and comprehensive.

21.3 As noted in 8.7, the agency may accept records prepared in specialized institutes or libraries for some categories of materials, and such records may not be comprehensive. Such a practice should be considered as an interim measure only: if a decentralized system is planned for input to the national bibliography, there is the necessity to authenticate the contributing organizations, and to establish and maintain compatible standards.

21.4 The agency may decide because of limited resources to prepare only abbreviated or partial records for certain categories of ephemera or minor interest materials; the justification is that although resources do not allow for the comprehensive record to be prepared, a brief record which identifies and provides acquisition details is of use. For example, this is a decision made by the Canadian national bibliography for some categories of materials, such as theses in microforms, vertical file material, etc.

21.5 There is also the possibility that for the purposes of international exchange a distinction may be made for ephemera and minor interest materials, etc.: comprehensive records are made for national use, and abbreviated records only are provided in machine-readable form for international exchange.

A decision of this kind has already been made within the International Serials Data System (see 11.4) whereby abbreviated records only of minor interest serials are reported to the International Centre. Decisions on the selection of such serials rests with national centres.

21.6 The agency may in consequence be involved in a two or three-step selection process: first, of the categories of materials to be included in the national bibliography (see 17); secondly, of those categories for which only abbreviated records will be prepared; and possibly, thirdly, of those categories of materials for which a comprehensive record will be made, but an abbreviated record only will be available for international exchange.

21.7 It is apparent from the above that in all cases where the records are less than comprehensive there is the necessity of identifying the status of the record whether it appears in the printed national bibliography or in machine-readable form, with some form of coding to show that it is a CIP record, or from a decentralized source. (See also 18.5, for the identification of records not of the national imprint).

21.8 There is also the necessity for those records which are to be re-placed or upgraded (as with CIP records) for the agency to establish the method and machinery of repeating the comprehensive record (see 11.5), and to include a statement in the issues of the printed national bibliography of how this is done (see also 19).

21.9 The International Congress in considering the various conditions under which abbreviated records may be prepared for the national bibliography saw the necessity to establish standards for minimum and abbreviated records (for example, international standards for CIP records) and recommended that projects should be undertaken in this area (Recommendation 15).

22 Recommended standards for the bibliographic records

22.1 As has been emphasized throughout, in developing the UBC system the acceptance and use of international bibliographic standards is required in preparing national bibliographic records, and part of the programme of UBC has been devoted to the establishment of the necessary tools of standardization. The present situation shows that a number of the bibliographic tools required now exist and are currently in use.

The International Congress, in taking account of its objectives (see 3.2), noted the international bibliographic standards which exist, the uniform cataloguing practices already followed, and the international schemes available for describing the subject content of a publication; and made the following recommendation:

> "The national bibliographic agency should undertake responsibility for preparing the comprehensive bibliographic records of its national imprint and in so doing should follow international cataloguing principles and adopt international bibliographic standards, specifically the ISBDs; and international numbering systems such as ISBN and ISSN; should maintain an authority control system for national names, personal and corporate, and uniform titles, in accordance with international guidelines; and should consider the adoption of an internationally-used classification scheme for the records". (Recommendation 13)

The various points set out in this recommendation are described briefly below. (For discussion on comprehensive records, see 20).

22.2 Bibliographic records are prepared in accordance with cataloguing codes (that is, sets of cataloguing rules) which include stipulations for:

> determining responsibility for authorship of a publication;
> deciding the form of authors' names;
> describing the publication in hand, etc.;

and may also include rules for filing, transliteration schemes, numerical sequences, etc.

22.2.1 There is no international cataloguing code, or international compilation of cataloguing rules in existence.

However, most of the national and multi-national cataloguing codes in use have a common basis in the Statement of Principles agreed at the International Conference on Cataloguing Principles (ICCP), Paris, 1961. In spite of their common basis there are differences among cataloguing codes, particularly with

respect to allocation of intellectual responsibility (that is, determining who is the author) and the form of the author's name - the choice and form of 'main heading' in a single entry catalogue - and this is the area which causes most problems in international exchange. However, in machine-readable records with the possibility of multiple 'access points' (such as all the personal and corporate body names associated with a publication) there are fewer difficulties of identification and in the matching of records.

22.2.2 Three multi-national codes are used in a number of countries:

Uniform rules: prepared by the USSR Cataloguing Committee and used throughout the USSR and some other Socialist countries; (24)

Regeln für die alphabetische Katalogisierung (RAK): prepared by and used in a number of German-language countries; (25)

Anglo-American cataloguing rules: 1st edition, 1967 (AACR1): 2nd edition, 1978 (AACR2): prepared by an editorial committee representing Canadian, United Kingdom and United States librarians. (26)

22.2.3 Of these, AACR1 has been the most widely accepted cataloguing code, used not only in English language countries, but also in translation (in Brazil, other Latin American countries, Iran, Korea, etc.), and as the basis for national codes (in the Scandinavian countries).

AACR2 will be implemented by the national libraries and in the national bibliographies of Australia, Canada, United Kingdom and United States (the ABACUS group) in 1981; and at the same time will be introduced in other countries in libraries and in national bibliographies.

22.2.4 In preparation for the introduction of AACR2, workshops and training courses are being planned in many countries for 1979-1980: this is in keeping with the Congress recommendation that:

> "The national bibliographic agency, in anticipation of the introduction of new cataloguing rules, descriptive practices, or subject approaches, should ensure that training courses are provided within the country to familiarize the national library community with the new practices". (Recommendation 14)

This recommendation has very wide implications and the careful preparations for the implementation of AACR2 show the extent of responsibilities accepted by agencies in introducing new standards

22.3 The International Standard Bibliographic Descriptions (ISBDs), developed within IFLA since 1969, have been accepted as standard practices for making the descriptive part of the bibliographic record and have been incorporated into a number of national cataloguing codes, as well as RAK and AACR2. As a consequence many national bibliographies are currently following the ISBDs.

The ISBDs provide for comprehensive description, aiming to include all the information required in a range of bibliographic activities. The descriptions resulting from the ISBDs are not normally used by themselves (that is, the record has to be completed with other elements such as the heading), but they provide the identification of the author and show the form of author's name as it appears on the titlepage: thus alleviating differences in choosing forms of author names as determined by different cataloguing codes and in the practices of information services.

The ISBDs currently available, all of which are aligned with the General ISBD (ISBD(G)), are those for monographs (ISBD(M), 1978); serials (ISBD(S), 1977); non-book materials (ISBD(NBM), 1977); cartographic materials (ISBD(CM), 1977). (27) In preparation are those for printed music, older books, and analytics. (28)

22.4 Essential to the standardization of records, and especially useful for retrieval purposes, is the inclusion of available international identification numbers (see also 11.4):

22.4.1 International Standard Book Numbers (ISBN) provide a unique number for each publication, and are allocated by publishers and used by librarians in a variety of bibliographic activities. As noted in 11.4.1, when the national bibliographic agency acts also as the national ISBN agency, the ISBN can be used with certainty as control numbers for identification and retrieval.

22.4.2 International Standard Serial Numbers (ISSN) (see also 11.4.2) used in conjunction with the 'key title' of a serial, allocated by a national serial centre or by the International ISDS Centre, provide unique identification and control of serials.

22.5 As noted in 11.3, it is the responsibility of the national bibliographic agency to establish and maintain national authority files of personal and corporate body names. It is accepted that national experience and national usage with regard to name patterns prevail , and most bibliographic agencies already maintain such files. Some agencies also extend their authority files to include uniform titles of national and internationally famous works, geographic names, etc.

22.5.1 However, there is not at present any international agreement on the principles for establishing national authority files, or on the practices to be followed in maintaining such files (or systems) whether in manual or machine-readable form. Hence the Congress Recommendation 15 that specific projects should be directed towards the establishment of guidelines for authority control which would be applicable in both manual and machine-readable systems. An IFLA Working Group has been established for this purpose, which will take account of work already under way in Canada, France, United States, etc. (29)

22.6 The difficulties of finding an acceptable international approach to subject identification is acknowledged. The indication of the subject content of publication is that element of the bibliographic record which requires the most intellectual scrutiny and receives the most varied treatment. In national bibliographies subject analysis is inevitably related to a country's cultural environment and users' requirements.

22.6.1 For international exchange purposes, the advantages of the use of one of the internationally-used classification schemes are apparent. Cheffins' analysis of existing national bibliographies showed the large number which were arranging the records in printed issues in a classified order following the Dewey Classification scheme. The problem was that there were many variations in the DDC editions used, or whether in a detailed classified sequence or whether in a detailed classified sequence or just in broad subject divisions.

There are other internationally-used classification schemes, such as Universal Decimal Classification (UDC), Library of Congress classification, etc. Some national bibliographies are already accepting the usefulness of allocating to each record subject classification symbols from at least two schemes. For example, the British national bibliography in its printed issues is arranged by Dewey Decimal class numbers, but the publications are also classified according to the Library of Congress scheme and the LC class numbers are included in the machine-readable records.

22.6.2 It is recognized that in machine-readable files there are more possibilities of using sophisticated subject approaches, such as PRECIS, with international exchange made available through the development of multilingual thesauri. But for manual systems and in printed national bibliographies the advantages of using a classification system arrangement in accordance with an internationally-used scheme seems to overcome some of the disadvantages of subject headings, with variations in language, terminology, cultural differences, etc.

22.6.3 The International Congress, in discussing the problem of subject approach in bibliographic records, considered that for the printed national bibliography there were advantages in using a classified arrangement in accordance with one of the internationally-used classification schemes, but did not feel, taking into account of the great variations in cultural and linguistic traditions, that it could recommend any one scheme (see also 12.4).

22.6.4 It is, however, worth noting that the four English language national libraries, Australia, Canada, the United Kingdom and the United States, are planning to introduce the 19th edition of the Dewey Decimal Classification in 1980-81 in their records. It is very likely that other national bibliographies will follow this example.

23 Other available standards

23.1 As well as the ISBN and ISSN, there are available other numbering systems and international codes which may be used within the record to enhance its ease in exchange. Some of these are noted briefly below.

23.2 Some specialized categories of materials, such as printed music, sound recordings, etc., have their own standard numbering systems, which may usefully be included in the bibliographic record. Provision for such standard numbering systems is made in the ISBD for Non-Book Materials (ISBD(NBM)) as well as the ISBN and ISSN.

23.3 The ISO country code (ISO 3166) has particular value in mechanized systems for identifying the source of a record or the country of the publication described; and for these purposes is used in some international information systems (for example, AGRIS) and in international exchange formats (for example, UNIMARC).

23.4 Some agencies have considered the advantages, as an aid for selection, to include in the bibliographic record a core denoting the intellectual level of the publication (that is, whether intended for university students, for children, for general users, etc.). To satisfy this requirement IFLA has developed the International Target Audience Code (ITAC). (30)

Provision for ITAC coding is allowed for in UNIMARC.

23.5 Other international standards prepared by ISO are used by some agencies for particular purposes in the preparation of bibliographic records. For example, standards for the abbreviations of typical words in bibliographical references (ISO 832, currently under revision), language codes (ISO 639,

currently under revision), and transliteration schemes for various scripts. These, and all other ISO standards in the field of documentation, are available in Information transfer (ISO Standards Handbook 1, 1977). (31)

CHAPTER VI

THE NATIONAL BIBLIOGRAPHY IN PRINTED FORM

24 Its universal use

24.1 All existing national bibliographies, however large or small the publishing output they are recording, are produced as printed issues (and some as well appear in other forms; see 30, 31). In the future, it is possible that machine-readable tapes will best serve the purposes of international selection and acquisition.

But printed issues will have continuing advantages for many years: the universality of the medium (paper); the convenience of handling and carrying the printed issues; the fact that no special equipment is required for their use.

24.2 For libraries which use national bibliographies from many countries, there may be advantages in acquiring microform editions of the printed issues: the disadvantages of portability and readability may be outweighed by the advantages of reduced subscriptions and storage charges, the speedy preparation of cumulations, the smaller size and hence reduced postal charges.

These advantages would be increased by the standardization of the format of the microform editions (not yet achieved).

25 Frequency of the printed issues

25.1 As has been emphasized in 1.2, the national bibliography to serve its purposes as a selection and acquisition tool must appear regularly and frequently and contain records of current publications.

25.2 The frequency of the printed issues depends upon the size of the national imprint and the professional and technical resources available to prepare the records and produce the printed bibliography.

It is apparent that weekly or monthly issues are irrelevant for small countries with a limited publishing output and limited resources, but it would be useful if every national bibliography appeared in printed form at least quarterly, with issues cumulated to appear in a more substantial annual volume.

The International Congress made this recommendation, recognizing that some quarterly cumulations would be small, but emphasizing the advantages of frequency and regularity (Recommendation 8).

26 Recommended standards for style and presentation

26.1 In taking account of the universal use of the printed national bibliography, it is apparent that there are great advantages in establishing some international uniformity in the physical presentation and editorial layout of printed issues - whether those printed issues are typed and duplicated, are printed letter press, or the products of computer print out.

26.2 The International Congress, in considering the above as one of its objectives, made the following recommendations with regard to the appearance and arrangement of printed issues:

- the use of an international paper size (preferably A4);
- layout and typography of cover and title page to be clear and unambiguous, and to include: the title of the bibliography;
  the period which the issue covers;
  place of publication;
  name of publisher;
  date of publication;
- verso of titlepage to include: copyright information;
  cataloguing-in-publication entry;
  details of availability, price, etc. (see 29);
  details of printing;
- an introduction (see 26.3);
- main body of text (see 27);
- indices (see 28). (Recommendation 9)

26.3 An introduction, to appear in at least each quarterly issue, should supply all details relating to:

- coverage (see also 19);
- frequency (see 25);
- arrangement (see 27);
- bibliographic and cataloguing tools used (see 22 and 23);
- list of special terms used, with definitions and abbreviations (see 26.3.1);
- outline of classified arrangement (see 27.1)
- outline of transliteration schemes (see 27.2.2);
- description of filing system (see 28.6). (Recommendation 10)

26.3.1 Special terms in this context were considered to be those bibliographic words familiar to cataloguers, but which could usefully be explained for the user of the bibliography (of particular value when the user is not completely familiar with the languages of the bibliography). Such terms can relate to edition statements, binding, illustration statements, etc. It is anticipated that the abbreviations of these terms will, when possible, follow international standards (notably ISO 832, see 23.5).

26.4 It is also accepted practice that agencies allocate their own identifying number to each record, and more usually these national bibliography numbers are in running order in relation to the appearance of the record in the printed issues of the national bibliography.

Such national bibliography numbers are used both nationally and internationally, to identify a particular record, as an acquisition tool in ordering a particular publication; and more especially, when the national bibliographic agency also provides a card catalogue service, for ordering the card (see 30.1).

26.4.1 National bibliography numbers are usually made up of three parts: the first, letters identifying the agency (and the ISO country code (see 23.3) can usefully be employed here); the second, numbers representing the year of issue; and thirdly, the running number of the record within the national bibliography printed issues. For example, TT76-541 represents item no. 541 in the 1976 issues of the national bibliography of Trinidad and Tobago.

27 Arrangement of records in the printed issue

27.1 Among existing printed national bibliographies there have been differences in arrangement of the records, the majority following a classified subject arrangement, but others using an alphabetical author and title sequence. The Scandinavian countries, for example, use an alphabetical main sequence with an index in classified order.

For international use there are apparent advantages in an order which gives some indication of subject content, even when the subject divisions are general terms such as 'medicine', 'economics'; or the broad divisions of the Dewey Decimal Classification or the Unesco classified headings.

The International Congress, in considering the advantages of the various arrangements, recommended that:

"The current issues of the printed national bibliography should be arranged in accordance with a stated internationally-used classification scheme and the arrangement of cumulations should be decided at the discretion of the national bibliographic agency". (Recommendation 11)

As in its recommendation on the standards to be followed in considering the subject approach to the records, the Congress did not express a preference for any one internationally-used classification scheme (see 22.6).

27.1.1 The decision whether to use detailed classified arrangements or broad subject divisions will rest with the agency, taking account of bibliographic traditions, the needs of users and the staff resources of the agency.

There are, however, areas where there is a special requirement for a detailed analysis of subject content: for example, in publications concerned with the topography or history of the country (see also 12.4).

Arrangement within the classified sequence (when more than one record appears at one classification number) is usually made in alphabetical order of author or title.

27.2 As noted in 17.4, the International Congress recommended that records should appear in the language and/or script of the publication. Hence, for countries where the national imprint includes publications in a number of languages and/or scripts, a further choice in arrangement must be made: either the integration of all languages and scripts in one sequence (preferably in a classified order); or the production of separate sequences for different languages and scripts. The decisions on arrangement will be made taking account of official government policy with regard to languages; on the comparative quantity of the records in the various languages; on the resources of the agency, and the known habits of the users of the national bibliography, that is, whether readers within the country are expected to know more than one language and/or script.

27.2.1 Examples of three different arrangements in national bibliographies reflect decisions taken in relation to the above points. In the Nigerian national bibliography, for example, the majority of publications are in English, with separate sequences at the end of each issue to list non-English publications in the many different languages of the country (about 5-10% of the total of each issue). The Singapore national bibliography includes publications in its four official languages and three scripts in one classified sequence; this reflects government policy, is an optimum solution for international

users, but is expensive to reproduce and to interfile differing scripts. The Sri Lanka national bibliography has three sequences for its three official languages and scripts.

27.2.2 As noted in 17.4, in many national bibliographies with a small proportion of records in scripts different from the original language and/or script of the country, the practice in recording such publications is transliteration or romanization. In the British national bibliography, for example, Hindi and Ukranian records appear in romanized form.

This may be considered as an interim measure, but permits one sequence in one script. Problems arise because of the variations in transliteration and romanization schemes. The international schemes developed by ISO are not accepted in every country. On the other hand, some of the romanization schemes prepared for the Library of Congress are in use traditionally. Hence the Congress recommendation that when romanization or transliteration is used, a note of the scheme used should be given.

27.3 The production of different sequences or sections or issues of the printed national bibliography for different categories of publications is also related to the quantity of the national imprint.

The printed issues of a national bibliography representing a small publishing output would be unnecessarily fragmented if divided into separate sequences for maps, printed music, monographs and serials.

27.3.1 There are, however, considerable advantages for the user to have separate sections devoted to special categories of materials and it is a practice followed by many national bibliographies; for example, Bulgaria, Australia, France and Poland all produce separate issues for different kinds of publications. The decision in this respect rests with the agency, taking account of the quantity of national publications and the method of preparation of the records; for example, decentralized input when the records for special categories are produced in different organizations (see 8.7, 21.3).

27.3.2 As noted in 11.5 and 21.2, abbreviated CIP records may appear in printed issues of the national bibliography (clearly identified as such) later to be upgraded and repeated.

An alternative agreement accepted by some agencies in organizing CIP schemes, is the production of separate issues for CIP records. This method adds to the efficiency in producing records quickly and lessens confusion when the record appears in full in a later issue of the national bibliography.

27.4 The Congress recommendation specified classified order for current issues only; it was suggested that the arrangement of the annual cumulations should be decided by the agency.

In most instances the annual cumulation will follow the same arrangement as the current issues: this seems most economical in production costs and most convenient to the user. Some agencies, however, may prefer an alternative arrangement - in alphabetical sequence of author and title, for example - as complementing the subject approach.

28 Indices to the printed issues

28.1 The Congress recommendation specified that each printed issue should include a number of indices which would complement the arrangement of the main text and supply additional user information.

When the printed issues are in classified order, the indices to be included are described briefly below.

28.2 An author index will include all names, personal and corporate, associated with a work and noted in the record.

As this is probably the most important and most used index, there are advantages in extending each entry in the index to include as well as the name, brief details of the title, classification number and/or national bibliography number.

28.2.1 A title index will be enhanced if the name of the author is included with the title.

28.2.2 A series index may also include the names of authors and titles of relevant publications.

28.2.3 These three, author, title and series, may be combined usefully in one alphabetical sequence.

28.3 In printed issues and cumulations arranged in classified order the subject index will refer to the classification numbers in the text.

In a cumulation arranged in alphabetical order the subject index will list authors and titles under each entry.

28.4 Other possible indices are of ISBN and ISSN numbers. An index of ISSN with related 'key titles' may be considered particularly useful.

28.5 Although strictly speaking not an index, there may be an additional user advantage in including a list of publishers, distributors, etc. with their addresses. This has special value in a country where no publishers' organization as yet exists, and is particularly useful for users outside of the country as part of the acquisition process.

Alternatively, where publishers' addresses are readily available from other sources (that is, from a publishers' association), a list of small and lesser known publishers could provide useful information to the user.

28.6 National filing practices vary and as yet there is no international agreement on standard filing practices. It is for this reason that the Congress recommendation suggested that the introduction should include a note or explanation of practices followed.

Because of current differences in practices, it is considered useful to include in each index and other alphabetical lists the maximum of possible cross references as an aid to the user.

29 Availability of the printed issues

29.1 The national bibliographic agency, in producing printed issues of the national bibliography, becomes a publisher, and as with all publishers is concerned to produce its products economically, sell them advantageusly, and ensure their distribution speedily and efficiently.

In this particular instance there is the added knowledge that the quicker the purchasers (that is, the subscribers to issues of the printed national bibliography) receive the publication, the greater the benefits to the country's publishing industry with increased sales.

29.2 Hence the Congress recommendation that on the verso of the titlepage should be included, as well as the bibliographic information concerning the publication (a CIP entry), all the necessary information concerning its availability, subscription rates under different conditions (for example, for national use, outside the country, for airmail rates, for cumulations only, etc.).

29.3 It is not expected that agencies, in producing and selling printed national bibliographies, and in providing other printed services (see 30) will be the publishers of 'best sellers' with resulting financial rewards. It is suggested, however, that the production of the printed national bibliography is a service to the national and international library community which may also have some small costs benefits for the agency which produces it.

CHAPTER VII

THE NATIONAL BIBLIOGRAPHY IN OTHER FORMS

30 As catalogue cards

30.1 As well as producing printed issues of the national bibliography, some agencies for many years have been printing individual bibliographic records as catalogue cards. This can be considered as part of the additional function of the agency as a national cataloguing co-ordinating centre (see 12.1).

The ordering of cards by libraries has been a simple process ancillary to that of selection: cards are ordered by national bibliography number at the same time as the publication; and hopefully the two arrive together and can be matched. Problems in matching and waiting arise as the distances from the agency and the publishers increase; for example, libraries in Australia buying American books and ordering Library of Congress cards.

30.2 With the introduction of mechanization techniques in many libraries, the future of card catalogues is at present under examination and in many instances card catalogues are closing. Consequently sales of cards have dropped as other services have been offered.

On the other hand, mechanization of the national bibliography does not necessarily mean the end of card catalogues nor of the production of cards from national bibliographic records. For example, in Hungary the national bibliography is now mechanized, and new card catalogues are being started to take in the new cards produced from its tapes.

30.3 The card catalogue is likely to continue in many countries and in many libraries, and the advantages of the printed cards produced from the records of the national bibliography are apparent: as a service in supplying cataloguing where original cataloguing cannot be undertaken; in preventing duplication; and in ensuring uniformity in national cataloguing practices.

As noted in 12.1 the agency as an additional function co-operates in the establishment of national cataloguing rules: the complementary function, the production and distribution of catalogue cards which utilize those rules, is the most effective way of publicizing the rules and ensuring their conformity in bibliographic records throughout the country.

30.4 However, in view of the changing patterns of use of card catalogues, the International Congress recommended that a study be made of the extent of present production by agencies and of their use internationally, with possibly the establishment of an international standard for the physical form of the card (Recommendation 12).

31 As machine-readable records

31.1 The national bibliography in machine-readable form offers new ways for the recording of information, new services for users of the national bibliography and new possibilities for international exchange.

In some countries the agency is already supplying records in machine-readable form, is building up a national data base of such records, is supplying additional information retrieval systems, and is providing individually tailored services to libraries.

Internationally a number of national agencies are already exchanging tapes, and looking to the future, as already noted in 15.1, there is the possibility of the national agency within its own country providing a wider range of records from many sources with many additional services.

31.2 From the beginning as national mechanization systems have been planned, there has been recognition of the need for international standards in developing national formats. The majority of the national processing formats of the MARC family (such as LC/MARC, MARCAL, danMARC, etc.) have as their basis the international standard record structure, ISO 2709, and are seeking to utilize other accepted international standards in their character sets, their coding, etc.

The international exchange formats which have more recently been developed to act as the overall structure for the international exchange of records, such as UNIMARC, also make use of the same international standards, including ISO 2709. Similarly the exchange formats currently in use within the information community are based on ISO 2709.

31.3 Looking to the future, there is the possibility and the need to develop an international exchange format which would encompass the requirements of national libraries and information services. It was this prospect which was at the basis of the International Congress recommendation that greater efforts should be made at both national and international levels to ensure compatibility between the exchange formats of the library and information communities. (Recommendation 19)

It is encouraging to note that action has already been taken to follow up this recommendation, and under way is the preliminary study for the development of a Common Communication Format. (32) Once this is developed the opportunities and the services which will be available for national bibliographic records will increase and the range of services provided by agencies will be extended even further.

REFERENCES

CHAPTER 1

1 Anderson, Dorothy, Universal Bibliographic Control. Verlag Dokumentation, 1974, p.11.

CHAPTER II

2 The draft guidelines, prepared by Jean Lunn for Unesco and the IFLA Section on National Libraries, were discussed during the IFLA General Council, August September 1979, Copenhagen.

3 A general background to the legislation required in establishing an integrated national library and information structure is given in: Establishing a legislative framework for the implementation of Natis. Unesco, 1977 (CC-76/WS/39).

4 International cataloguing 2(3) 1973:1.

5 Symposium on National Libraries in Europe, Vienna, 1958. National libraries: their problems and prospects. Unesco, 1960.

6 United Kingdom University Grants Committee. Report of the Committee on Libraries. HMSO, 1967, p.81.

7 Wees, Ian. "The National Library of Canada: the first quarter-century". Canadian library journal, June 1978, pp. 153-163.

8 For a summary of the Netherland proposals, see International cataloguing 5(4) 1976:6.

CHAPTER III

9 Rules for the entry of personal names have been prepared, for example, by national committees in Malaysia and Singapore: see reports in International cataloguing.

10 The IFLA Sections on Cataloguing and on Mechanization have established a Joint Working Group on an International Authority System, which among its tasks will study existing proposals for the exchange of authority data, and consider definitions for the terms "national authors" and "national bodies": see International cataloguing 1(4) 1978:37; 8(1) 1979:2.

11 Lists of uniform headings for official bodies have been published, for example, by national libraries in Malaysia and Singapore; the IFLA publication List of uniform headings for higher legislative and ministerial bodies in European countries provides model entries.

12 Full address: International ISBN Agency, Staatsbibliothek Preussischer Kulturbesitz, D-1000 Berlin 30, Postfach 1407.

13 Full address: International Centre for the Registration of Serial Publications, 20 rue Bachaumont, 75002 - Paris, France.

14 International Centre for the Registration of Serial Publications. Guidelines for ISDS, Unesco, 1973 (under revision).

15 A study on the cataloguing of serials in national serial centres and national bibliographic agencies is currently under way, with Unesco sponsorhsip: see preliminary report in Unesco Bulletin for Libraries, vol. 32, no. 3, May-June 1978, pp. 154-156.

16 For a comparative study of various schemes, see Swindley, Ross, Cataloguing in publication: an international survey. Unesco, 1976 (COM.75/WS/32); see also issues of International cataloguing for information on later developments.

17 International cataloguing 2(2) 1973: 2.

18 The second edition of the Anglo-American cataloguing rules (AACR2, 1978) for example, provides for three levels of description: see Rule 1.0D, pp. 14-15.

19 Alston, R.C. and Jannetta, M.J. Bibliography, machine-readable cataloguing and the ESTC. The British Library, 1978

20 Wells, A.J. The International MARC Network: a study for an international bibliographic data network. IFLA UBC Office, 1977.

CHAPTER IV

21 An interesting account of some of these problems can be found in Mowat, I.R.N. A study of some European national bibliographies. (Report prepared for the British Library Research and Development Department, April 1978).

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23 Studies on the typology of publications to be recorded in national bibliographies are currently under way within the IFLA Section on Bibliography in a Working Group, Chairman R. Cybulski.

CHAPTER V

24 For an account of the background to the preparation of the Uniform rules see Khrenkova, A.A. "Fifty years of cataloguing in the USSR". International cataloguing, 1(4), 1972:6-8.

25 For an account of the origins and basis of RAK, see Kaltwasser, F.G. "Enstehung, Strukturen und Anwendung der neuen Regeln für die alphabetische Katalogisierung (RAK)". Zeitschrift für Bibliothekswesen und Bibliographie, vol. 21, 1974, pp.1-22. Summary in English: International cataloguing, 3(4), 1976:2-3.

26 Published by the American Library Association and the (British) Library Association, December 1978.

27 Available from IFLA International Office for UBC, c/o Reference Division, The British Library, Great Russell Street, London WC1B 3DG, Great Britain, and for American sales from the Canadian Library Association, 151 Sparks Street, Ottawa, Ontario K1P 5E3, Canada.

28 For reports on the development of these, see International cataloguing: drafts of the ISBDs for printed music and for older books have been circulated for international comment at the end of 1978.

29 For the terms of reference of the Working Group, see International cataloguing 7(4), 1978:37.

30 Published by the IFLA UBC Office as Occasional paper no. 1, 1977: the ITAC is under consideration by ISO/TC 46/WG 1 for possible adoption as an international standard.

31 Available from ISO Central Secretariat, Case postale 56, 1211 Geneva 20, Switzerland. (ISBN 92-67-20017-3)

CHAPTER VII

32 For a report on the preliminary discussions on this, and the establishment of the Unesco Ad hoc group on a Common Communication Format, see International cataloguing 8(1) 1979.

APPENDIX A

Examples of documents, letters, circulars used by the national bibliographic agency in carrying out its functions

SAMPLE DOCUMENTS

6.6.1 Operating the office of legal deposit

a)

To _____

COPYRIGHT ACT – CLAIM FOR DEPOSIT COPY

Publication _____

_____

Please supply a copy of the above in accordance with the provisions of the Copyright Act, 1911 (s.15) as amended by the British Library Act, 1972 (s.4). Books should be received by the British Library's Copyright Receipt Office as early as possible before publication and a statement of price and ISBN included with each.

This form should be returned with your reply.

BSD CRO4

b)

Nous vous remercions pour l'envoi d'un exemplaire de la publication mentionnée ci-dessous. Nous désirons en recevoir un autre exemplaire conformément à la Loi de la Bibliothèque nationale. La publication sera répertoriée dans la bibliographie nationale Canadiana et sera disponible à la Bibliothèque nationale pour la recherche et le prêt. Merci de votre collaboration.

c)

This publication does not appear to have been received on deposit under the terms of the National Library Acts of 1952 and 1969. Would you kindly arrange to have 2 copies sent as soon as possible to Book Deposit, National Library of Canada, Ottawa. Canada K1A 0N4.

For the National Librarian.

d)

To _____

COPYRIGHT ACT – CLAIM FOR DEPOSIT COPY

Publication _____

_____

Please supply a copy of the above in accordance with the provisions of the Copyright Act, 1911 (s.15) as amended by the British Library Act, 1972 (s.4). Books should be received by the British Library's Copyright Receipt Office as early as possible before publication and a statement of price and ISBN included with each.

This form should be returned with your reply.

SECOND REQUEST

6.6.1 contd.

e) Dear Publisher,

We do not appear to have received copies of your publication as detailed below.

Will you please send all later issues in accordance with the provisions of section 15 of the Copyright Act 1911, as amended by section 4 of the British Library Act 1972. Please return this form with your reply.

If publication has been discontinued or suspended, it will help us to complete our records if you fill in the particulars on the detachable portion of this note and return it to the above address.

Yours sincerely,

Head of Copyright Receipt Office

f) To

Please supply additional details of the following works so that notice of them can appear in the *British National Bibliography*.

TITLE OF WORK	ISBN	PRICE

THIS IS NOT AN ORDER

The *British National Bibliography* has a world-wide circulation and it is to our mutual advantage to keep it up-to-date. Books should be received by the British Library's Copyright Receipt Office as early as possible before publication and a statement of price and ISBN should be included with each.

PLEASE REPOST THIS CARD

6.6.1 contd.

g) We have recently seen a reference to the undernoted publication, and are most anxious to obtain a copy to add to the permanent collection of the National Library. In addition, we should like to include this item in the national bibliography, CANADIANA, which is distributed monthly to libraries across Canada and abroad.

Would you be so kind as to send us a copy, accompanied by the enclosed form? The mailing label will enable you to send the parcel post free.

Our address is:

Nous avons remarqué récemment une référence à la publication mentionnée ci-dessous dont nous désirons posséder un exemplaire pour conserver dans les collections de la Bibliothèque nationale. De plus, nous voudrions l'inscrire dans la bibliographie nationale CANADIANA que reçoivent chaque mois plusieurs bibliothèques du Canada et de l'étranger.

Auriez-vous l'obligeance de nous faire parvenir un exemplaire avec la formule ci-jointe dûment remplie? L'étiquette incluse vous évitera les frais de port.

Notre adresse:

h) Re: Legal Deposit of Educational Kits

The deposit provisions of the National Library Acts of 1952 and 1969 require Canadian publishers to send copies of their publications to the National Library. Until 1978, these provisions were limited to books, pamphlets, serials and sound recordings. Since January 1978, however, by specific request of the National Librarian, educational kits of non-book materials have also been included. A leaflet containing the pertinent clauses of the National Library Act, effective 1969, and the National Library Book Deposit Regulations is enclosed for your information.

In order to complete our holdings, we should appreciate it if you would send us the required deposit copy of the title listed below, as well as any other kits which you may publish in the future. An official receipt will be issued for each title received by the Library.

Material received on legal deposit is preserved in the Library's permanent collection where it is available for research and consultation. In addition, most titles are listed in Canadiana, the national bibliography. For your convenience, we enclose a mailing label and an author information form to be completed and returned with the kit. Additional forms and labels are available on request.

Our address is:

11.3.1 Establishing authoritative forms of personal names

a) In providing an authoritative record of new British books deposited at the British Library, THE BRITISH NATIONAL BIBLIOGRAPHY frequently requires the full fore-names or real identity of any author, editor, translator,or other person who has assisted in the production of a book. This information is essential so that works may be correctly ascribed to persons responsible for them.

It would be useful, therefore, if you would supply THE BRITISH NATIONAL BIBLIOGRAPHY with your forenames in full, or your real identity if you use a pseudonym.

It is sometimes necessary also to distinguish between persons with identical names and it is convenient to use the date of birth for this purpose. If you would care to supply this information now, it will be kept in our files in case it should become necessary to make use of it.

It is necessary in a national bibliography to make reference from a person's real name, if he is using a pseudonym, but if you prefer it, any information which you supply will, upon your direction, be treated as confidential and remain in our files until you may wish to release it.

ISBN_____

Please give the necessary information in connection with the following work(s).

Surname : _____

Forenames in FULL: _____

Pseudonym: _____ Date of Birth: _____

I do not object to my real name being published in the British National Bibliography.* **Delete if desired.*

Signed

Please refold and repost this form

b) RENSEIGNEMENTS NÉCESSAIRES POUR LE CATALOGAGE

Nom et prénoms de l'auteur:

Nom de jeune fille:

Année de naissance de l'auteur:	L'auteur est-il né au Canada? ☐ Oui ☐ Non
L'auteur est-il citoyen canadien? ☐ Oui ☐ Non	L'auteur habite-il le Canada? ☐ Oui ☐ Non

Date: Signature:

11.4.2 Assigning International Standard Serial Numbers (ISSNs)

a) Your serial publication

has been assigned the International Standard Serial Number ISSN

In January 1973, the National Library of Canada was designated the Canadian centre for the International Serials Data System. As such it is responsible for assigning ISSN's to Canadian serials and submitting information about them to the system's central files in Paris. The purpose of the International Serials Data System is to provide an up-to-date record of world serial publications. Each serial is to be given a unique number (ISSN) to facilitate its identification, location and ordering. At present, ISDS Canada is undertaking the registration of new serials published in Canada from January 1, 1974 and at the same time is beginning retrospective coverage.

The successful implementation of this system involves the co-operation of serial publishers in ensuring that all ISSN's assigned are printed on their respective issues. If possible, the number should appear on the top right hand corner of the front cover, complete with its prefixed letters, for example ISSN 1234-5678. The back cover or title page are alternate locations for the ISSN. The ISSN should be printed, as well, on all materials describing or promoting your publication. If a serial bears an ISBN (International Standard Book Number) as well as an ISSN, for example a volume in a monographic series, both numbers should appear, together with their own prefixed characters.

If you plan any change in your serial title, please inform us in advance. This will enable us to supply you with a new ISSN for printing on the first issue of the new title, as well as on all subsequent issues of the same title. In this way, your serial will be assured of always having an accurate and unique identification number in national and international sources.

Thank you for your support of this program.

11.5.1 Operating a Cataloguing-in-Publication (CIP) scheme

a) Dear

Enclosed find _____ Cataloguing in Publication entry/entries for titles submitted to us as part of the National Library's Canadian CIP programme.

Print the CIP data on the verso of the title page, either in full or reduced-size photo-facsimile or by setting it in type to your own design. The data elements must be printed without alteration to sequence, punctuation or capitalization.

Please do not edit, delete from or add to the CIP data without consulting us.

For further information consult the Canadian Cataloguing in Publication (CIP Publisher's manual).

b) PUBLISHER'S REPLY FORM

We will begin to send proofs of our new titles in _____

Signed _____ *Position* _____ *Date* _____

Name of Publisher _____

Address _____

_____

_____

Telephone No. _____

The person to contact concerning CIP is _____ *(name)*

Position _____

Address (if different from above) _____

_____

_____

Telephone No. _____ _____

APPENDIX B

International Congress on National Bibliographies

Unesco

September 1977

Recommendations

The International Congress on National Bibliographies, held at Unesco from 12 to 15 September 1977,

Endorsing the concept of Universal Bibliographic Control (UBC) as a long-term programme for the development of a world-wide system for the control and exchange of bibliographic information,

Emphasizing the need to strengthen national bibliographic control as a prerequisite for universal bibliographic control,

Recognizing the importance of the national bibliography as a major instrument in ensuring national bibliographic control,

Makes the following recommendations:

Legal deposit

1. Member States should examine existing deposit legislation and consider their provisions in relation to present and future requirements in order to develop and maintain national bibliographic control; and, where necessary, existing legislation should be revised;

2. Member States currently without legal deposit should examine the possibilities of its introduction as a means of strengthening national bibliographic control;

3. New deposit laws, or regulations pursuant to such laws, should state the objective of legal deposit in relation to the national bibliography; should ensure that the deposit of copies is relevant to the requirements of the national library system; should be comprehensive in terminology and wording to include existing types of materials with information content and others which may be developed; and should include measures for enforcement of the laws;

4. Unesco should draft model legislation which would serve as a basis for Member States in attaining national bibliographic control, and which would take into account the relationship between copyright and legal deposit;

The selection of materials for the national bibliography

5. National bibliographies, as a minimum, should include the records for monographs and first issues and title changes of serials, including official publications, of the national imprint; and other categories of materials should be included as rapidly as possible to meet the requirements of the national library community and the resources of the national bibliographic agency. When national bibliographic agencies for linguistic, cultural or other reasons include records for publications clearly not part of the national imprint, such records should be identified as not belonging to the national imprint;

6. The national bibliography should include records for materials in all the languages and/or scripts in which publications are produced within a country; and wherever possible these records should be in the languages and/or scripts in which the publications originally appeared;

7. Further study should be undertaken to define additional categories of materials and to suggest priorities for their inclusion in the national bibliography;

The presentation and frequency of the printed national bibliography

8. The printed national bibliography should appear as a minimum quarterly with at least annual cumulations;

9. Each printed issue should conform to the following:

use of an international paper size (recommended A 4);

clear and unambiguous layout and typography of cover and/or title page to include: title of the bibliography;

the period which the issue covers;

place of publication;

name of publisher;

date of publication;

ISSN in top right-hand corner;

verso of title page to include:

copyright information;

cataloguing-in-publication entry;

details of availability, price, details of printing;

introduction (in each quarterly issue at least);

main body of text;

indices (cumulated annually) covering complementary arrangements to that of main text;

10. In the introduction should be included details stating:

the basis for the records, for example, records made from copies deposited in the national library in accordance with legal deposit stipulations;

coverage, including exceptions;

frequency;

arrangement;

bibliographic and cataloguing tools used;

list of special terms used, with definitions and abbreviations;

outline of classified arrangement (if used);

outline of transliteration schemes (if used);

description of filing system;

11. The current issues of the printed national bibliography should be arranged in a classified order in accordance with a stated internationally-used classification scheme and the arrangement of cumulations should be decided at the discretion of the national bibliographic agency;

Catalogue cards

12. A study should be undertaken of the extent of production of catalogue cards by national bibliographic agencies and their use internationally; and an examination should be made of the desirability of establishing an international standard for the physical form of the card;

Contents of the bibliographic record

13. The national bibliographic agency should undertake responsibility for preparing the comprehensive bibliographic records of its national imprint and in so doing follow international cataloguing principles and adopt international bibliographic standards, specifically the ISBDs; and international numbering systems such as ISBN or ISSN; should maintain an authority control system for national names, personal and corporate, and uniform titles, in accordance with international guidelines; and should consider the adoption of an internationally-used classification scheme for the records;

14. The national bibliographic agency, in anticipation of the introduction of new cataloguing rules, descriptive practices, or subject approaches, should ensure that training courses are provided within the country to familiarize the national library community with the new practices;

15. Specific projects to promote international bibliographic standards and guidelines should be undertaken for authority control applicable to both manual and mechanized systems; abbreviated and minimum records as required, e.g. for CIP;

Publications of intergovernmental and international non-governmental organizations

16. Intergovernmental and international non-governmental organizations should introduce cataloguing-in-publication schemes in accordance with international bibliographic standards;

17. Intergovernmental organizations should co-operate in a joint effort to produce a current bibliography of all their publications;

Information systems

18. Studies should be made of the utilization of records produced for national bibliographies as national input to information systems, and vice versa;

19. Greater efforts at national and international levels should be made to ensure compatibility between the bibliographic exchange formats of the library and information communities;

The International Serials Data System (ISDS)

20. Member States should establish national and/or regional centres for ISDS, if possible within the national bibliographic agency;

21. A study should be made of the interrelationship of the ISDS register and the serial records of national bibliographies and the results should be taken into account in the revision of the ISDS Guidelines;

Resource sharing

22. Studies should be made into issuing multinational bibliographies in areas where for any reason it is not feasible at present to publish national bibliographies and/or where there are some geographical, linguistic or cultural links;

23. Unesco and other appropriate institutions should be asked to assist in the establishment of pilot schemes for national bibliographic agencies, or in the production of national bibliographies, and in the organization of national, regional or international seminars and training workshops for these.

APPENDIX C

International Congress on National Bibliographies

Unesco

September 1977

An International Framework for the National Bibliographic Agency: agreed objectives, functions, basis

AN INTERNATIONAL FRAMEWORK FOR THE NATIONAL BIBLIOGRAPHIC AGENCY: AGREED OBJECTIVES, FUNCTIONS, BASIS

Accepted by the International Congress on National Bibliographies, 12-15 September 1977, taking account of the Recommendations of the Congress.

1. Preamble

The concept of UBC - a long-term programme for the development of a world-wide system for the control and exchange of bibliographic information - presupposes the creation of a network made up of component national parts, integrated at the international level to form the UBC system.

In developing UBC it is anticipated that the "component national part" may be the national library, or another institution, receiving in accordance with national deposit stipulations, all types of materials with information content. When the "component national part" is the national library, the functions related to national bibliographic control are undertaken by an organizational unit which acts as the national bibliographic agency.

2. Objectives

2.1 The major objectives of the national bibliographic agency are to:

collect and preserve the national imprint; and

create the authoritative bibliographic records of the items that make up the national imprint.

2.2 In order to fulfil these objectives, it is essential that national deposit stipulations are constituted which:

are comprehensive in terminology and wording so as to include existing types of materials with information content and others which may be developed;

state the objective of legal deposit in relation to the national bibliography and the preparation of national bibliographic records;

ensure that the deposit of copies is relevant to the requirements of the national library system;

are specific in recognizing the national library, or other institution, for the receipt of a minimum of two copies of all items of materials deposited;

include measures for the enforcement of the deposit stipulations.

3. Functions

3.1 The national bibliographic agency has, as its primary function, the production of the national bibliography.

3.1.2 In undertaking this function, the agency accepts the responsibility:

to prepare the authoritative bibliographic records of the items received under national deposit stipulations;

to produce those records in a national bibliography as printed issues which appear regularly and frequently, as a minimum quarterly, with annual cumulations;

to produce the national bibliography in other physical forms (e.g. as catalogue cards, machine-readable records, etc.) as the agency may decide;

to include in the national bibliography as a minimum records for monographs, first issues and title changes of serials (including official publications);

to include the authoritative bibliographic records in all the languages and/or scripts of the national imprint in the original languages and/or scripts;

to include other types of materials and to exclude particular categories of materials (e.g. because of limited size, etc.) as the agency may decide;

to include in printed issues at least quarterly information describing the contents and the arrangement.

3.1.3 In preparing the authoritative bibliographic records noted above, the agency accepts and implements:

international bibliographic standards and codes and internationally accepted bibliographic practices, such as:

International Standard Bibliographic Description (ISBD)

International Standard Book Number (ISBN)

International Standard Serial Number (ISSN);

and other international standards are developed for the creation and content of the bibliographic record.

3.1.4 In producing the national bibliography, the agency accepts and implements:

the international standards which are currently available, and such others as may be prepared, for the production as printed issues, as catalogue cards, in machine-readable form, etc.

3.2 The national bibliographic agency, as a corollary to its primary function, undertakes:

to maintain an authority control system, in accordance with internationally-agreed guidelines, for national names (personal and corporate) and uniform titles;

to establish authoritative forms of names of its national authors;

to assist, in co-operation with other national bodies, in the compilation of national rules for determining the entry word for national names.

3.3 The national bibliographic agency, in addition to and in support of its primary function, undertakes other functions which relate to both its international and national role.

3.3.1 Internationally its priority function is:

to act as the depository and/or exchange centre for the dispatch and receipt of bibliographic records to and from other national bibliographic agencies;

and in undertaking this function, the agency agrees:

to accept these records as the authoritative bibliographic records of other national imprints; that is, accepts that the records received are made in accordance with internationally accepted standards and practices as stated by the originating agency.

3.3.2 Some of the other functions which the agency may undertake are:

to maintain the office or collection point for items received under legal deposit stipulations;

to maintain the national serial centre for the registration of serials in the International Serials Data System (ISDS) in co-operation with the International Serials Centre, Paris;

to maintain the national unit to allocate International Standard Book Numbers (ISBN) when such a unit is not maintained already by the national publishers' association;

to operate, in co-operation with national publishers, a national cataloguing-in-publication scheme;

to act as a national cataloguing co-ordinating agency through the preparation and production of bibliographic records as catalogue cards, machine-readable tapes, etc.;

to participate in the work of national and international bibliographic organizations concerned with the preparation of bibliographic standards, cataloguing rules, etc.;

to assist, in co-operation with other national bodies, in the provision of training courses, seminars, etc., in anticipation of the introduction of new cataloguing rules, descriptive practices, etc.

The acceptance of all or some of these additional functions, or of such other functions as may be identified, is the decision of the agency. Such a decision may relate to the provision of adequate resources within the agency.

4. Basis

In order to undertake the functions outlined in paragraph 3 and to perform its national and international roles, it is essential that the national bibliographic agency be:

established by statutory provisions at governmental level, with its objectives and functions defined;

assured of the technical and professional resources required for the preparation of the national bibliography in accordance with the stipulations set out in paragraph 3.1 that is, professional staff to prepare the authoritative bibliographic records and the facilities to produce the national bibliography.

APPENDIX D

ACRONYMS AND DEFINITIONS

ACR1	Anglo-American Cataloguing Rules. 1st edition 1967
AACR2	Anglo-American Cataloguing Rules. 2nd edition 1978
AGRIS	International Information System for the Agricultural Sciences and Technology
CIP	Cataloguing-in-Publication
danMARC	Danish Machine-Readable Cataloguing
DDC	Dewey Decimal Classification
ESTC	Eighteenth-century Short Title Catalogue
FID	International Federation for Documentation
ICCP	International Conference on Cataloguing Principles
ICSU-AB	International Council of Scientific Unions, Abstracting Board
IFLA	International Federation of Library Associations and Institutions
IMCE	International Meeting of Cataloguing Experts
INIS	International Nuclear Information System
ISBD	International Standard Bibliographic Description
ISBN	International Standard Book Number
ISDS	International Serials Data System
ISO	International Organization for Standardization
ISSN	International Standard Serial Number
LC	Library of Congress
MARC	Machine-Readable Cataloguing
MARCAL	Latin America Machine-Readable Cataloguing
PRECIS	Preserved Context Indexing System
RAK	Regeln für die alphabetische Katalogisierung
UAP	Universal Availability of Publications
UBC	Universal Bibliographic Control
UDC	Universal Decimal Classification
UNIMARC	MARC International format
UNISIST	Intergovernmental Programme for Co-operation in the field of Scientific and Technological Information

DEFINITIONS

Some words and phrases which appear throughout the Guidelines are set out below with an explanation or definition of the way in which they have been used. For clarity and consistency when a national bibliography is mentioned or described it is designated not by its "title proper", but in the form "national bibliography of ..." or "... national bibliography".

publications — used in the widest sense to cover all items in whatever form which have informational content and are produced in multiple copies for distribution

national imprint — the products of the national publishing industry

library — an organized collection of published books, serials, and other items of informational content; and the services of staff to provide and interpret such materials in order to meet the informational, research educational and recreational needs of its users.

As will be seen, the term "library", in the sense of this very wide definition, covers the role and functions of other information service units which may be called "documentation centres" or "information units", etc.

library materials — any items of informational content in whatever form which may be collected by libraries, and/or may be recorded by the national bibliographic agency

national collection — the collection of library materials held in a country which is made up of all informational items which relate in a variety of ways (subject, authorship, language, etc.) to the country: the national imprint is part of the national collection.